

DEMONSTRATION PROJECT • PERFORMANCE MANAGEMENT RECORD

PERFORMANCE APPRAISAL AND POSITION REVIEW

Employee's Name _____

Position Title _____

Career Path/Series/Band _____

Organization _____ Rating Period _____

RATING OFFICIAL'S CERTIFICATION

I Certify That:

- ☐ This plan is a complete and accurate statement of the performance elements, objectives, and major activities that will form the basis of the employee's performance appraisal.
- ☐ The performance plan and position description reflect similar objectives, duties and responsibilities.

Name and Title of Rating Official	Signature	Date
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HIGHER LEVEL SUPERVISOR CONCURRENCE

I agree with the certification of the position description and concur with the performance plan.

Name and Title of Higher Level Supervisor <i>(if appropriate)</i>	Signature	Date
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PAY POOL MANAGER'S APPROVAL

I agree with the certification of the position description and I approve the performance plan.

Name and Title of Pay Pool Manager	Signature	Date
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REVIEWING OFFICIAL'S APPROVAL

This review is appropriate when the pay pool manager is also the rating official.

Name and Title of Review Official	Signature	Date
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EMPLOYEE ACKNOWLEDGMENT

My signature acknowledges discussion of the position description and receipt of the performance plan, but does not necessarily signify agreement with either document.

Employee's Signature	Date
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SECTION 1- PERFORMANCE PLAN

Employee's Name

Rating Period

Element No.

1 of

ITEM 1. Performance Element, Objective and Point Weight

Critical Element:

Objective:

Point Weight:

The weight must reflect the importance of the element or the time required to perform it, or both. Element weight must be in 5 point increments, with no element weight higher than 60 points, and all element weights must equal 100 points.

ITEM 2. Major Activities or Required Results Related to the Above Element *(Maximum of 5)*

ITEM 3. Evaluation Criteria *(Benchmark performance standards must be used; add supplemental standards, if needed.)*

SECTION 1 - PERFORMANCE PLAN

Employee's Name

Rating Period

Element No.

2 of**ITEM 1. Performance Element, Objective and Point Weight**

Critical Element:

Objective:

Point Weight:

The weight must reflect the importance of the element or the time required to perform it, or both. Element weight must be in 5 point increments, with no element weight higher than 60 points, and all element weights must equal 100 points.

ITEM 2. Major Activities or Required Results Related to the Above Element *(Maximum of 5)***ITEM 3. Evaluation Criteria** *(Benchmark performance standards must be used; add supplemental standards if needed.)*

SECTION 1 - PERFORMANCE PLAN

Employee's Name

Rating Period

Element No.

3

of

ITEM 1. Performance Element, Objective and Point Weight

Critical Element:

Objective:

Point Weight:

The weight must reflect the importance of the element or the time required to perform it, or both. Element weight must be in 5 point increments, with no element weight higher than 60 points, and all element weights must equal 100 points.

ITEM 2. Major Activities or Required Results Related to the Above Element *(Maximum of 5)*

ITEM 3. Evaluation Criteria *(Benchmark performance standards must be used; add supplemental standards if needed.)*

SECTION 1 - PERFORMANCE PLAN

Employee's Name

Rating Period

Element No.

4 of**ITEM 1. Performance Element, Objective and Point Weight**

Critical Element:

Objective:

Point Weight:

The weight must reflect the importance of the element or the time required to perform it, or both. Element weight must be in 5 point increments, with no element weight higher than 60 points, and all element weights must equal 100 points.

ITEM 2. Major Activities or Required Results Related to the Above Element *(Maximum of 5)***ITEM 3. Evaluation Criteria** *(Benchmark performance standards must be used; add supplemental standards if needed.)*

SECTION 1 - PERFORMANCE PLAN

Employee's Name

Rating Period

Element No. _____

5 of _____**ITEM 1. Performance Element, Objective and Point Weight**Critical Element: _____
_____Objective: _____

Point Weight: _____

The weight must reflect the importance of the element or the time required to perform it, or both. Element weight must be in 5 point increments, with no element weight higher than 60 points, and all element weights must equal 100 points.

ITEM 2. Major Activities or Required Results Related to the Above Element *(Maximum of 5)***ITEM 3. Evaluation Criteria** *(Benchmark performance standards must be used; add supplemental standards if needed.)*

SECTION 1 - PERFORMANCE PLAN

Employee's Name

Rating Period

Element No.

6

of

ITEM 1. Performance Element, Objective and Point Weight

Critical Element:

Objective:

Point Weight:

The weight must reflect the importance of the element or the time required to perform it, or both. Element weight must be in 5 point increments, with no element weight higher than 60 points, and all element weights must equal 100 points.

ITEM 2. Major Activities or Required Results Related to the Above Element *(Maximum of 5)***ITEM 3. Evaluation Criteria** *(Benchmark performance standards must be used; add supplemental standards if needed.)*

SECTION 1: PERFORMANCE PLAN - CONTINUATION PAGE 1	
Employee's Name:	Rating Period:

SECTION 1: PERFORMANCE PLAN - CONTINUATION PAGE 2	
Employee's Name:	Rating Period:
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SECTION 1: PERFORMANCE PLAN - CONTINUATION PAGE 3	
Employee's Name:	Rating Period:
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ITEM 4. Mid-Cycle/Progress Review (Check appropriate box)

- ☐ 1. Review indicates performance is **Eligible**.
- ☐ 2. Review indicates performance is **Eligible**; however, there are performance deficiencies, as stated below.
- ☐ 3. Review indicates performance is **deficient** and a performance improvement plan is needed. Deficiencies are stated below. (If this block is checked, supervisor must contact the servicing HR office.)

Key Achievements, Strengths: Be specific and relate these to performance elements. List areas where work was done well and identify the strengths exhibited by the employee during the rating period.

Deficiencies, Areas of Concern: (Must be filled in if box 2 or box 3 above is checked): Be specific and relate these to individual performance elements. Note deficiencies or areas where performance has declined during the rating period.

Suggestions/Strategies for Improvement: List areas in which the employee might enhance performance. Comments can also identify suggestions for career growth and development.

	Employee's Initials	Date	Rating Official's Initials	Date
Mid-Cycle Progress Review				
Progress Review				
Progress Review				

ITEM 5. Rating Official's End-of-Year Appraisal *(Includes consideration of attached employee accomplishments)*

- ☐ 1. Review indicates performance is **Eligible**.
- ☐ 2. Review indicates performance is **Eligible**; however, there are performance deficiencies, as stated below.
- ☐ 3. Review indicates performance is **deficient** and a performance improvement plan is needed. Deficiencies are stated below. (If this block is checked, supervisor must contact the servicing HR office.
- ☐ 4. Review indicates that a PIP has not been successfully completed and performance is rated Unsatisfactory.

Key Achievements, Strengths: Be specific and relate these to performance elements. List areas where work was done well, and identify the strengths exhibited by the employee during the rating period.

Deficiencies, Areas of Concern: (Must be filled in if box 2 or box 3 above is checked): Be specific and relate these to individual performance elements. Note deficiencies or areas where performance has declined during the rating period.

Suggestions/Strategies for Improvement: List areas in which the employee might enhance performance. Comments can also identify suggestions for career growth and development.

SECTION 2 - PERFORMANCE SUMMARY RATING

Employee's Name

Rating Period

Organization

ITEM 1. Scoring

1. List each performance element and its weight.
2. Assign a score to each element. Enter "Unsatisfactory" if element performance does not warrant a score.
3. Complete total score by summing element scores. Total score can range from 40 to 100. If one or more elements are rated "Unsatisfactory," there is no total score and the overall rating is "Unsatisfactory."

Performance Element	Weight	Score
1. _____	_____	_____
2. _____	_____	_____
3. _____	_____	_____
4. _____	_____	_____
5. _____	_____	_____
6. _____	_____	_____
TOTAL SCORE		_____

ITEM 2. Rating and Payouts

- ☐ **Eligible** (*All elements scored in the Eligible range*)
- ☐ **Unsatisfactory** (*At least one element rated Unsatisfactory*)
- ☐ **RIF Service Credit** _____ **10 Years** _____ **5 Years**

Performance Pay Increase Percentage _____ Dollar Amount _____

Bonus Amount _____

Name and Title of Rating Official

Signature

Date

Name and Title of Higher Level Supervisor
(If Appropriate)

Signature

Date

Name and Title of Pay Pool Manager

Signature

Date

Name and Title of Reviewing Official

Signature

Date

Employee's Signature (*Signifies evaluation feedback meeting held*)

Employee comments attached?

☐ YES ☐ NO

Date

INSTRUCTIONS

RESPONSIBLE OFFICIAL: The Rating Official is responsible for all steps except C-6 ,which is the responsibility of the Pay Pool Manager.

- A. PERFORMANCE PLANNING (Section 1, Items 1-3): Develop the performance plan in collaboration with the employee.**
 - 1. Performance Element:** Establish the performance elements of the position (Item 1). Fill out a separate Section 1 for each element.
 - 2. Objectives:** State the objective of each element.
 - 3. Point Weight:** Assign a weight to each element in terms of importance or time required, or both. The weight selected must be on the Element Point Range. The total weight of all elements must equal 100 points.
 - 4. Major Activities:** List the major activities or required results related to each element (Item 2).
 - 5. Evaluation Criteria:** If needed, enter a supplemental performance standard that defines at least the minimum level of “Eligible” performance to be applied, along with the benchmark performance standards (Item 3).
 - 6. Cover Sheet:** Fill out and sign the cover sheet; obtain the signatures of higher level supervisor, (if appropriate) Pay Pool Manager, Reviewing Official*, and employee in this order.
- B. PROGRESS REVIEW (Item 4): Conduct at least one (mid-year) progress review with each employee.**
 - 1. Discussion:** For each element, discuss with the employee and record: (a) progress toward accomplishing the element; (b) any needs for changes in the plan; and (c) any performance deficiencies and how to correct them.
 - 2. Recording:** Check one of the blocks.
 - 3. Initialing:** Initial and date, and have the employee initial and date, attesting that the progress review took place. If changing the plan, Rating Official, Pay Pool Manager, Reviewing Official*, and the employee must initial change.
- C. PERFORMANCE APPRAISAL (Section 1, Item 5; Section II): Appraise the employee’s performance in accordance with the performance elements, their objectives, activities, weighted values, the benchmark performance standards, and any supplemental standards.**
 - 1. Notification:** Notify the employee of (a) the requirement to submit a list of accomplishments; and (b) the date and time of the Performance Review meeting.
 - 2. Performance Review Meeting:** Meet with the employee to discuss accomplishments. Ratings and other outcomes ARE NOT discussed at this meeting.
 - 3. End-of-Year Appraisal:** In Item 5, describe the employee’s performance, including consideration of employee’s accomplishments and those accomplishments recognized by the Rating Official.
 - 4. Scoring:** Use the *Element Point Ranges* and *Performance Standards Table* to calculate a tentative total score: (a) measure the performance of each element against the *Benchmark Performance Standards* (and supplemental standards, if any); (b) from the column of scores headed by the weight of the element, select a score for the element that corresponds to the level of performance (e.g., if the weight of the element is 40 points and the performance on the element matched the highest benchmark, assign 40 points; if the performance matches the second highest benchmark, assign 28 points; (c) if it matches the third highest benchmark, assign 16 points; if it falls between two benchmarks, assign an appropriate score); (d) sum the

individual element scores to produce the total performance score.

5. **Recommendations:** Submit tentative overall scores and recommendations for pay increases and bonuses (through higher-level supervisor) to the Pay Pool Manager for approval.
6. **Pay Pool Manager:** Carry out the following steps using automated performance payout system: (a) interleave peer groups; (b) make pay increase decisions; (c) bonus decisions; (d) record decisions on Form CD 541; (e) sign the Summary Rating Sheet; (f) forward to Reviewing Official*; (g) return forms to Rating Official.
7. **Rating Official:** Signs the Summary Rating Sheet.
8. **Evaluation Feedback Meeting:** Rating Official meets with the employee to discuss the final decisions: rating any performance pay increase, and bonus. Obtains the employee's signature and gives the employee a copy of the completed appraisal.

* If the Pay Pool Manager is also the Rating Official for a position in the pay pool, the Reviewing Official (next higher level in management chain) must review and sign the performance plan and appraisal before giving feedback to the employee.